


Form 1 Page 1 Execution Page	<b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b> <b>WASHINGTON, D.C. 20549</b> <b>APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION</b> <b>AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION</b> <b>PURSUANT TO SECTION 5 OF THE EXCHANGE ACT</b>	Date filed (MM/DD/YY):  07/30/18	<b>OFFICIAL USE ONLY</b>
Warning: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative or criminal action			
<b>INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS</b>			
<div style="display: flex; justify-content: space-between;"> <span><input type="checkbox"/> APPLICATION</span> <span><input checked="" type="checkbox"/> AMENDMENT</span> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 60%;"> <p>1. State the name of the applicant: Miami International Securities Exchange, LLC</p> <p>2. Provide the applicant's primary street address (Do not use a P.O. Box): 7 Roszel Road, Suite 5-A, Princeton, NJ 08540</p> <p>3. Provide the applicant's mailing address (if different):</p> <p>4. Provide the applicant's business telephone and facsimile number: Telephone: 609-897-7300; Facsimile: 609-987-2210</p> <p>5. Provide the name, title and telephone number of a contact employee: Barbara J. Comly, EVP, General Counsel &amp; Corporate Secretary 609-897-7315</p> <p>6. Provide the name and address of counsel for the applicant: Barbara J. Comly, EVP, General Counsel &amp; Corporate Secretary Miami International Securities Exchange, LLC 7 Roszel Road, Suite 5-A Princeton, NJ 08540</p> <p>7. Provide the date applicant's fiscal year ends: December 31</p> <p>8. Indicate legal status of applicant: <input type="checkbox"/> Corporation <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership  <input checked="" type="checkbox"/> Limited Liability Company <input type="checkbox"/> Other (specify):</p> <p>If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):</p> <p>(a) Date (MM/DD/YY): 9/10/07                      (b) State/Country of formation: Delaware</p> <p>(c) Statute under which applicant was organized: Delaware Limited Liability Company Act, 6 Del. C. 18-1d et seq.</p> </div> <div style="width: 35%; text-align: center;"> <p><b>SEC Mail Processing</b></p> <p><b>AUG 01 2018</b></p> <p><b>Washington, DC</b></p>  <p>18002780</p> </div> </div>			



Barbara J. Comly  
General Counsel

7 Roszel Road, Suite 5-A  
Princeton, New Jersey 08540  
T 609 897 7300  
F 609 987 2210  
bcomly@miami-holdings.com

July 30, 2018

SEC Mail Processing

AUG 01 2018

**VIA FEDERAL EXPRESS**

**Washington, DC**

Jeannette Marshall  
Division of Trading and Markets  
Office of Market Supervision  
Securities and Exchange Commission  
100 F. Street, N.E.  
Washington, D.C. 20549

**Re: Miami International Securities Exchange, LLC ("MIAX")  
Amendment No. 2018-10 to Form 1 Application**

Dear Ms. Marshall:

Enclosed for official filing pursuant to Rule 6a-2(a) are an original and two copies of Amendment No. 2018-10 to the Form 1 Application of MIAX, which includes the following changes:

Exhibit F – New Membership Forms

Please do not hesitate to contact me if you have any questions in connection with this matter.

Very truly yours.

A handwritten signature in cursive script, appearing to read "Barbara J. Comly", written over a horizontal line.

Barbara J. Comly  
EVP, General Counsel & Corporate Secretary

Enclosures

cc: Marlene Olsen

## Exhibit F

## **EXHIBIT F**

### **Exhibit Request:**

**A complete set of all forms pertaining to:**

- 1. Application for membership, participation, or subscription to the entity.**
- 2. Application for approval as a person associated with a member, participant, or subscriber of the entity.**
- 3. Any other similar materials.**

### **Response:**

Exhibit F is hereby amended as set forth below.

1. MIAX/PEARL Pre-Application Survey Form
2. MIAX/PEARL Member Application
3. MIAX/PEARL Amendment to Member Application
4. MIAX Market Maker Member Guarantee
5. MIAX/PEARL Clearing Member Give-Up Authorization and Guarantee
6. MIAX/PEARL User Agreement
7. MIAX Sponsored Access Agreement
8. MIAX/PEARL Statutory Disqualification Notice
9. MIAX Attestation, Consent to Jurisdiction and Authorization of Associated Person Membership – Firm Applicant
10. MIAX Attestation, Consent to Jurisdiction and Authorization of Associated Person Membership – Individual Applicant
11. MIAX/PEARL Exchange Data Agreement
12. MIAX/PEARL Affiliated Companies List – Schedule A to Exchange Data Agreement
13. MIAX/PEARL Data Feed Request Form – Schedule B to Exchange Data Agreement
14. MIAX/PEARL Service Facilitator List – Schedule C to Exchange Data Agreement
15. MIAX/PEARL Market Data Subscriber Agreement – Schedule D to Exchange Data Agreement

16. MIAX/PEARL Market Data Policies
17. MIAX/PEARL Service Bureau Agreement
18. MIAX/PEARL Extranet Connection Agreement
19. MIAX/PEARL Extranet Information Form – Schedule A
20. MIAX/PEARL Universal Give-Up and Designated Clearing Advisement
21. MIAX/PEARL Volume Aggregation Request Form
22. MIAX Stock-Tied Give Up Authorization and Guarantee **[New Form Attached]**
23. MIAX Stock-Tied Complex Order Authorization **[New Form Attached]**

The Exchange intends to use Form U-4, the Uniform Application for Securities Industry Registration or Transfer, for persons applying to be associated persons of a Member.





## STOCK-TIED GIVE UP AUTHORIZATION AND GUARANTEE

MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC

\_\_\_\_\_  
Name of Exchange Member

\_\_\_\_\_  
MPID

\_\_\_\_\_  
Name of Clearing Member

\_\_\_\_\_  
NSCC/DTC Participant No.

In accordance with Miami International Securities Exchange, LLC ("MIAX Options" or the "Exchange") Rule 507, the Clearing Member authorizes the above Exchange Member to give up Clearing Member's NSCC/DTC Participant No. listed above on MIAX Options for the purposes of Rule 518, Interpretation & Policy .01. and Clearing Member has previously filed guarantees with the Exchange, it holds the Exchange harmless and assumes financial responsibility for all transactions on the Exchange resulting from orders, bids, offers and other messages that are transmitted to MIAX Options by such Exchange Member for trade settlement at the above-listed NSCC/DTC Participant No. of the Clearing Member even if orders, bids, offers or other messages transmitted to the Exchange by the Exchange Member through the foregoing MPID which is associated with the Clearing Member (i) were entered as a result of a failure in applicable security and/or credit controls, (ii) were entered by an unknown or unauthorized user, or (iii) exceeded Clearing Member's credit parameters.

Previously filed Clearing Member Guarantees shall remain in effect until the Clearing Member submits a written notice of revocation to the Exchange and also advises the appropriate Exchange personnel by telephone of the revocation notice. Such notice shall be deemed effective once the Exchange confirms to the Clearing Member that its revocation instruction has been effected in the Exchange's operating system. A revocation shall in no way relieve a Clearing Member of responsibility for transactions guaranteed prior to the effective time of such Exchange-acknowledged revocation.

\_\_\_\_\_  
Name of Authorized Signatory of Exchange Member

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Signatory of Exchange Member

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Authorized Signatory of Exchange Clearing Member

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Signatory of Exchange Clearing Member

\_\_\_\_\_  
Date

BY AFFIXING SIGNATURE BELOW, STOCK FACILITATING BROKER CONFIRMS THE COMPLETENESS OF THE EXCHANGE MEMBER'S APPLICATION FOR THIS STATED CLEARING PURPOSE.

\_\_\_\_\_  
Name of Authorized Signatory of Stock Facilitating Broker

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Signatory of Stock Facilitating Broker

\_\_\_\_\_  
Date







## STOCK-TIED COMPLEX ORDER AUTHORIZATION

### MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC

Miami International Securities Exchange, LLC ("MIAX Options" or the "Exchange") Member Organizations should use this form to request participation in Complex Orders containing a stock component on MIAX Options. Please fill out this form in its entirety and return to MIAX Options Membership (see Section F below).

#### SECTION A – GENERAL MEMBER INFORMATION

Member Organization Name:

Contact name for questions related to this form:

CRD No.:

Phone:

Email:

#### SECTION B – ACCOUNT CONFIGURATION

Provide the following information for all MIAX Options account numbers that require configuration for trading Complex Order strategies with a stock component.

MIAX Options Account	Stock MPID	Clearing Firm	NSCC/DTCC Participant No.

#### SECTION C – CLEARING PATH

Check the desired clearing path for stock component. FINRA members MUST choose 1 or 3.

- ☐ 1. **ACT** – Requires Uniform Service Bureau/Executing Broker Agreement (AGU) with FINRA Transparency Services
- ☐ 2. **Direct to NSCC** – Requires Qualified Special Representative (QSR Form submitted via DTCC Portal) arrangement with FINRA
- ☐ 3. **Direct to NSCC with non-clearing report sent to ACT** – Requires both AGU and QSR Agreements

#### SECTION D – SIGNATURES

Authorized Signor Clearing Broker Dealer

Authorized Signor MIAX Options Member Organization

Print Name/Title

Print Name/Title

Date

Date

#### SECTION E – SUPPLEMENTAL MATERIAL

- **FINRA Transparency Services Uniform Executing Broker Agreement (AGU)** – FINRA member firms who wish to participate in the Complex Order System are required to execute this Agreement.
- **QSR Arrangement (DTCC Portal)** – Firms which are not a FINRA nor a MIAX Options member with no access to Act via its clearing broker dealer, must have its clearing broker dealer enter into this arrangement with FINRA.
- **MPID & Session Request Form** – Broker dealers that do not have an assigned MPID must request one by submitting this form to MIAX Options Membership.
- In accordance with Rule 518 Interpretation and Policy .01(a), to participate in stock-option order processing, a Member must give up a Clearing Member previously identified to and processed by the Exchange as a Designated Give Up for that Member, and which has entered into a *Uniform Executing Broker Agreement* with FINRA Transparency Services.

#### SECTION F – SUBMISSION

Please submit your completed form to: MIAX Options Membership, 7 Roszel Rd, 5<sup>th</sup> Floor, Princeton, NJ 08540 or electronically to [membership@MIAXOptions.com](mailto:membership@MIAXOptions.com). Questions may be directed to MIAX Options Membership at 609-897-1479.